

PROPERTY & CASUALTY INSURERS

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: **District of Columbia** Filings Made During the Year 2004

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2" x 14")	2	1	xxx	3/1	NAIC	Postmark date accepted Note R
	1.1	Printed Investment Schedule detail (Pages E01-E-25)	2	1	xxx	3/1	NAIC	Note M
	2	Protected Cell Annual Statement	2	0	0	3/1	NAIC	
	3	Combined Annual Statement (8 1/2" x 14")	2	1	xxx	5/1	NAIC	
	4	Quarterly Financial Statement (8 1/2" x 14")	1	1	xxx	5/15, 8/15, 11/15	NAIC	Postmark date accepted Note R
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	2	1	xxx	4/1	NAIC	
	11	Combined Insurance Expense Exhibit	2	1	xxx	5/1	NAIC	
	12	Credit Insurance Experience Exhibit	2	1	xxx	4/1	NAIC	
	13	Investment Risk Interrogatories	2	1	xxx	4/1	NAIC	
	14	Financial Guaranty Insurance Exhibit	2	1	xxx	3/1	NAIC	
	15	Insurance Expense Exhibit	2	1	xxx	4/1	NAIC	
	16	Long Term Care Experience Reporting Forms	2	1	xxx	4/1	NAIC	
	17	Management Discussion & Analysis	2	1	xxx	4/1	Company	
	18	Medicare Supplement Insurance Experience Exhibit	2	1	xxx	3/1	NAIC	
	19	Premiums Attributed to Protected Cells Exhibit	2	1	xxx	3/1	NAIC	
	20	Risk-Based Capital Report	2	1	N/A	3/1	NAIC	
	21	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	22	Statement of Actuarial Opinion	2	1	xxx	3/1	Company	
	23	Supplement A to Schedule T	2	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	24	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	25	SVO Compliance Certification	1	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	26	Trusted Surplus Statement	2	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	Note O
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	Note O
	32	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	Note O
	33	Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	Note O
	34	Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	Note O
	35	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	Note O
	36	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	Note O
	37	Quarterly Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	Note O
	38	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	Note O
	30	June .PDF Filing	xxx	1	xxx	6/1	NAIC	Note O
		IV. AUDITED FINANCIAL STATEMENTS						
	51	Accountants Letter of Qualifications	2	N/A	N/A	As required	Company	
	52	Audited Financial Statements	2	1	xxx	6/1	Company	Note S
	53	Audited Financial Statements Exemption Affidavit	2	N/A	N/A	As required	Company	
	54	Independent CPA	2	N/A	N/A	As required	Company	
	55	Notification of Adverse Financial Condition	2	N/A	N/A	As required	Company	
	56	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A	As required	Company	
	57	Request for Exemption to File	2	N/A	N/A	As required	Company	
	58	Request to File Consolidated Audited Annual Statements	2	N/A	N/A	As required	Company	
		V. STATE REQUIRED FILINGS						
	103	Filings Checklist (with Column 1 completed)	1	1	0	Various	State	
	104	Premium tax	2	0	1	3/1	State	Note D
	105	State Filing Fees	2	0	1	As required	State	Note C
	106	Holding Company System Registration Statement (Form B)	1	0	0	4/30	Company	Note T
	107	Holding Company System Summary of Changes (Form C)	1	0	0	4/30	Company	Note T
	108	Holding Company System Prior Notification of Material Transaction (Form D)	1	0	0	As required	Company	Note T
	109	Claims payment Report (prompt pay form)	1	N/A	1	3/15	DISR	Note P, N

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	Janice Gordon, Chief Financial Analyst janice.gordon@dc.gov (email) (202) 442-7833 (telephone) Also, see Notes C and D below for license and premium tax contacts.
	B	Mailing Address:	DC Department of Insurance and Securities Regulation Financial Examination Division 810 First Street, NE Suite 602 Washington, DC. 20002
	C	Mailing Address for Filing Fees:	License Renewal for Property & Casualty - \$200.00 DC Department of Insurance and Securities Regulation Consumer and Professional Services Division 810 First Street, NE Suite 602 Washington, DC. 20002 Check should be made payable to DC Treasurer Contact Person: Denise Parker denise.parker@dc.gov (email) (202) 442-7815 (telephone)
	D	Mailing Address for Premium Tax Payments:	DC Department of Insurance and Securities Regulation Insurance Bureau P.O. Box 92180 Washington, DC 20090-2180 Check should be made payable to DC Treasurer Contact Persons: Roland McAllister, Accountant rolandmcallister@dc.gov (email) (202) 442-7822 (telephone) or, alternatively Lana Craven, Accountant lane.craven@dc.gov (email) (202) 442 7791
	E	Delivery Instructions:	All annual financial statement filings must be postmarked no later than March 1 st . Other financial filings must be postmarked no later than the indicated due date. License applications and filing fees must be physically received at the address in Note C no later than April 30 th . Premium tax returns and payments must be postmarked no later than March 1 st .
	F	Late Filings:	Company will be fined \$100 per day for a late filing. Other actions including license suspension may be taken.
	G	Original Signatures:	Original signatures required on all filings from domestic companies. Foreign companies should follow the instructions in the NAIC Annual Statement Instructions.
	H	Signature/Notarization/Certification:	The President and Secretary are required to sign the annual statement, or in their absence, 2 other principal officers may sign.

	I	Amended Filings:	Amended items must be filed within 10 days of an amendment, along with an explanation of the amendments. If there are signature requirements for the original filings, same should be followed for any amendment. Amendments to the Annual or Quarterly Statements require an amended jurat page, including amendment number, amendment filing date and the number of pages refiled.
	J	Exceptions from normal filings:	Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing date. Domestic companies should apply at least 30 days prior to the due date and, for extensions, must submit a written request explaining the reason for the delay and a detailed timeline of any expected component completion dates and contingencies.
	K	Bar Codes (State or NAIC)	Please follow the instructions in the NAIC Annual Statement Instructions.
	L	NONE Filings:	District of Columbia does not require the filing of a "NONE" page if the applicable supplemental interrogatory indicates that the filing is non-applicable.
	M	Item 1.1:	Domestic Companies are not required to submit an additional copy of the detailed investment schedules if they are already bound in the Annual Statement. The DC DISR follows the Annual Statement Instructions related to investment schedule detail and certain supplements. As such, certain items that are captured on the NAIC database are not required to be submitted in hard copy format from foreign insurers. If this information is filed with the domiciliary state and the NAIC, it is not necessary to file with this state.

	N	Filings discontinued or modified materially since last year:	1) Please note the inclusion of the following new line on the 2004 checklist - electronic claims payment report.
	O	Electronic Filing Requirements:	See General Instructions for Companies to use Checklist which follows specific guidance on electronic filing requirements including the requirements to file certain items in the portable document format (PDF files). Any questions regarding electronic filing should be directed to the NAIC. The NAIC web site is at http://www.naic.org . The main phone line is (816) 842-3600. The NAIC help desk line is 816-783-8500.
	P	Claims Payment Report (prompt pay form):	The "Prompt Pay Act of 2002" (DC Code §31-3135) which went into effect on July 23, 2002 requires that health insurers file a claims payment report with the Commissioner no later than March 15th of each year. This is an electronic filing. Please refer to the DISR website for the Claims Payment Report form. Contact person: Kathy Rickford, Health Insurance Policy Advisor at (202) 442-7758.
	Q	Standard Reporting Requirements:	To order NAIC publications, including the Annual Statement Blanks and Instructions and the Accounting Practices and Procedures Manual, call publications at 816-783-8300. Publications catalogue also available on line at http://www.naic.org .
	R	Foreign Company filings:	Foreign Companies to file hard copy of statements only upon written request.
	S	Audited Statements:	Audited Statements must be prepared on a statutory basis. Auditor must be independent CPA.
	T	Holding Company Registration Statement (Form B), Summary of Changes (Form C), and Report of Material Transactions (Form D):	Foreign Companies domiciled in states having holding company system filing requirements similar to the District of Columbia, are not routinely required to file with the DISR. Please refer to D.C. Code §31, Chapter 7 for guidance.

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels, and other information, to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The ***Annual Statement Electronic Filing*** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The ***March .PDF Filing*** is the .pdf file for annual statement data, detail for investment schedules, Officers and Directors Information and supplements due March 1.

The ***Risk-Based Capital Electronic Filing*** includes all risk-based capital data.

The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions*.

The ***Supplemental .PDF Filing*** is the .pdf file for all supplemental schedules and exhibits due April 1.

The ***Quarterly Statement Electronic Filing*** includes the complete quarterly statement data.

The ***Quarterly Statement .PDF Filing*** is the .pdf file for quarterly statement data.

The ***Combined Annual Statement Electronic Filing*** includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The ***Combined Annual Statement .PDF Filing*** is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

The ***June .PDF Filing*** is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: “NAIC,” “State,” or “Company,” If this column contains “NAIC,” the company must obtain the forms from the appropriate vendor. If this column contains “State,” the state will provide the forms with the filing instructions. If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.